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| FORM PTO 1449 US Department of Commerce<br>Patent and Trademark Office | ATTY DOCKET NO.:<br><b>UBAT1310</b>                  | APPLICATION NO.:<br><b>09/795,660</b> |
|  | APPLICANT(S):<br><b>Vladimir I. Merkulov, et al.</b> |                                       |
| INFORMATION DISCLOSURE<br>STATEMENT BY APPLICANT                       | FILING DATE:<br><b>02/27/01</b>                      | GROUP ART UNIT:<br><b>2812</b>        |

U.S. PATENT DOCUMENTS


| EXAM.<br>INITIALS |    | DOCUMENT<br>NUMBER | DATE     | NAME                       | CLASS | SUB-<br>CLASS | FILING<br>DATE |
|-------------------|----|--------------------|----------|----------------------------|-------|---------------|----------------|
| SJF               | A1 | 5,804,910          | 09/08/98 | Kevin Tjaden, et al.       | 313   | 310           | 01/18/96       |
| SJF               | A2 | 6,417,606          | 07/09/02 | Masayuki Nakammoto, et al. | 313   | 336           | 10/08/99       |
|                   | A3 |                    |          |                            |       |               |                |
|                   | A4 |                    |          |                            |       |               |                |

FOREIGN PATENT DOCUMENTS

| EXAM.<br>INITIALS |    | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUB-<br>CLASS | TRANSLATION<br>(YES/NO) |
|-------------------|----|--------------------|------|---------|-------|---------------|-------------------------|
|                   | B1 |                    |      |         |       |               |                         |
|                   | B2 |                    |      |         |       |               |                         |
|                   | B3 |                    |      |         |       |               |                         |
|                   | B4 |                    |      |         |       |               |                         |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages)

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|-----|----|---|
| SJF | C1 | PCT International Search Report Date Mailed September 17, 2002.   |
| SJF | C2 | <i>Synthesis of Large Arrays of Well-Aligned Carbon Nanotubes on Glass</i> by Z.F. Ren, et al. SCIENCE Vo. 282, November 6, 1998  |
| SJF | C3 | <i>Variations in Structure and Emission Characteristics of Nanostructured Carbon Films Prepared by HFCVD Method Due to the Addition of Ammonia in Source Gases</i> , by Seungho Choi, et al. Dept. of Molecular Science and Technology, Ajou University, Suwon 442-749 Korea. 2001 IEEE |
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|---|-----------------------------------|
| EXAMINER<br> | DATE CONSIDERED<br><b>7/13/05</b> |
|---|-----------------------------------|

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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| <b>Form PTO-1449 (modified)</b><br><br><b>List of Patents and Publications for Applicant's</b><br><br><b>INFORMATION DISCLOSURE STATEMENT</b><br><br>(Use several sheets if necessary) | <b>Atty. Docket No.</b><br>UBAT:027US/JJB            | <b>Serial No.</b><br>09/795,660       |
| <b>Applicant</b><br>Vladimir I. Merkulov <i>et al.</i>   |  |                                       |
| <b>Filing Date:</b><br>February 27, 2001   |  | <b>Group:</b><br>2812                 |
| <b>U.S. Patent Documents</b><br><i>See Page 1</i>  | <b>Foreign Patent Documents</b><br><i>See Page 1</i> | <b>Other Art</b><br><i>See Page 1</i> |

### U.S. Patent Documents

| Exam. Init. | Ref. Des. | Document Number | Date | Name | Class | Sub Class | Filing Date of App. |
|-------------|-----------|-----------------|------|------|-------|-----------|---------------------|
|             |           |                 |      |      |       |           |                     |

### Foreign Patent Documents

| Exam. Init. | Ref. Des. | Document Number | Date | Country | Class | Sub Class | Translation Yes/No |
|-------------|-----------|-----------------|------|---------|-------|-----------|--------------------|
|             |           |                 |      |         |       |           |                    |

### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

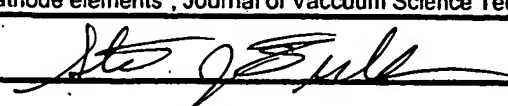
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| SJF         | C1        | Baker, "Catalytic growth of carbon filaments," <i>Carbon</i> , 27:315-323, 1989.  |
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| SJF         | C3        | Ren <i>et al.</i> , "Growth of a single freestanding multiwall carbon nanotube on each nanonickel dot," <i>Applied Physics Letters</i> , 75:1086-1088, 1999.      |
| SJF         | C4        | Ren <i>et al.</i> , "Synthesis of large arrays of well-aligned carbon nanotubes on glass," <i>Science</i> , 282:1105-1107, 1998.                                  |

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| <b>EXAMINER:</b> <i>John G. Sub</i>  | <b>DATE CONSIDERED:</b> 7/13/05 |
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|--|---|----|---|------------------------|--|---------------------------|--|
| <b>FORM PTO 1449 US Department of<br/>Commerce<br/>Patent and Trademark Office</b> |   |    |   | Application Number     |  | 09/795660                 |  |
|  |   |    |   | Filing Date            |  | February 27, 2001         |  |
|  |   |    |   | First Named Inventor   |  | Vladimir Merkulov, et al. |  |
|  |   |    |   | Group Art Unit         |  | 2812                      |  |
|  |   |    |   | Examiner Name          |  | Unknown                   |  |
| Sheet  | 1 | of | 1 | Attorney Docket Number |  | UBAT1310                  |  |

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| Examiner Signature |          |   | Date Considered   | 7/13/05 |